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on 10/28/2005
Date

Cora M. Utley
Cora M. Utley

Attorney Docket No.

A3316-US-NP

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of Christopher L. Chua

Group Art Unit: 2828

Application No.: 10/625,811

Examiner: Tuan N. Nguyen

Filed: July 23, 2003

Confirmation No.: 7775

For: PHASE ARRAY OXIDE-CONFINED VCSELS

Mail Stop: Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

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Pursuant to 37 C.F.R. 1.56, the attention of the Patent and Trademark Office is hereby directed to the reference(s) and information listed on the attached PTO-1449 Form. One legible copy of each is attached to the PTO-1449 Form, except for U.S. Patents, or published or IFW (Image File Wrapper) available U.S. applications. It is respectfully requested that the references and information be expressly considered during the prosecution of this application, and that the reference(s) be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

- ☐ 1. This Information Disclosure Statement is being filed (a) within three months of the U.S. filing date of the above application (excluding an RCE), **OR** (b) before the mailing date of a first Office Action on the merits (including an RCE). *No certification or fee is required.*
- ☐ 2. This Information Disclosure Statement is being filed more than three months after the U.S. filing date **AND** after the date of the first Office Action on the merits, but before the mailing date of a Final Rejection, Notice of Allowance, or other action that closes prosecution. Please debit Xerox Corporation Deposit Account 24-0025 in the amount of \$180.00 in payment of the fee under 37 C.F.R. 1.17(p). *(A copy of this paper is attached.)*
- ☒ 3. This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection or Notice of Allowance; **AND**
- ☒ a. I hereby certify that each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. 1.97(e)(1); **(OR)**

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- ☐ 4. This Information Disclosure Statement is being filed after the mailing date of a Final Rejection or Notice of Allowance, but before the payment of the Issue Fee. Please debit Xerox Corporation Deposit Account 24-0025 in the amount of \$180.00 in payment of the fee under 37 C.F.R. 1.17(p) (*A copy of this paper is attached*); **AND**
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- ☐ 6. A copy of an English language version of an above-referenced counterpart foreign application search report is attached.
- ☐ 7. Copies of some or all of the subject references were cited or submitted to the Office in related parent Application No. _____, filed _____, which is relied upon under 35 U.S.C. §120. Thus, copies of those references are not attached (except for copies of cited pending applications). 37 C.F.R. §1.98(d).



Kent M. Chen

Signature under 37 CFR 1.33 & 34

Registration No. 39,630

Telephone No. 714-565-1158

Date October 28, 2005

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Application Number	10/625,811
Filing Date	7/23/2003
First Named Inventor	Christopher L. Chua
Art Unit	2828
Examiner Name	Tuan N. Nguyen
Attorney Docket Number	A3316-US-NP

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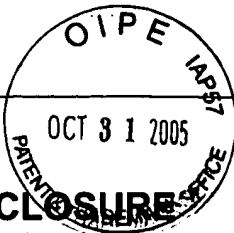
Foreign Patent Documents						
Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³ Number ⁴ Kind Code ⁵ (if known)				
		WO 02/089272 A1	04/25/2002	Photodigm		X
		EP 1 225 669 A1	07/24/2002	Avalon Photonics, Ltd.		X
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This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner of Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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**Complete if Known**

Application Number	10/625,811
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First Named Inventor	Christopher L. Chua
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Examiner Name	Tuan N. Nguyen
Attorney Docket Number	A3316-US-NP

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Non Patent Literature Documents

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
		HUFFAKER, D. L., ET AL.: Fabrication of High-Packing-Density Vertical Cavity Surface-Emitting Laser Arrays Using Selective Oxidation, IEEE Photonics Technology Letters, IEEE, Inc., May 1, 1996, Pages 596-598, Vol. 8., No. 5	<input type="checkbox"/>
		DEPPE, D. G., ET AL: Phase-Coupled two-Dimensional ALXGA1-XAS-GAAS Vertical-Cavity Surface-Emitting Laser Array, Applied Physics Letters, American Institute of Physics, May 21, 1990, Pages 2089-2091, Vol. 56, No. 21	<input type="checkbox"/>
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